

01-16-02

Docket No: AM109305

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor of Application of: Anita W-Y. Chan

Serial No.:

10/016,229

Group Art No.:

Filed:

November 2, 2001

Examiner:

For:

Process for the Preparation of 1,2,3,4,8,9,10,10a-Octahydro-7bH
Cyclopenta[b][1,4]Diazepino-[6,7,1-hi]Indole Derivatives

Confirmation No.:

Customer Number:

25291

Commissioner for Patents

Box DD

Washington, DC 20231

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In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

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I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number ET302330705US addressed to the Commissioner for Patents, Box DD, Washington, DC 20231.

Date

1-4-02

John R. Barker

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- a. ☒ is filed within three months of the filing date of the application.
- b. ☒ is filed before the mailing date of a first Office Action on the merits.
- c. ☐ is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d. ☐ is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
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A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that no copy of a pending U.S. application is enclosed.

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No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120.

Prior application is Serial Number , filed on of for .

☒ Concise Explanation

Documents cited above which are not in the English Language

- a. ☐ have been explained in the specification.
b. ☒ have an abstract (or other concise explanation) in English enclosed or if readily available a translation into English of the document is enclosed.

Form PTO-1449 is enclosed in duplicate.

☐ Fees

☐ Fee for filing under 37 CFR 1.97(c) or (d) Fee: \$0.00

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Steven R. Eck

January 14, 2002

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#2

Substitute for form 144B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/016,229
(use as many sheets as necessary)				Filing Date	November 2, 2001
				First Named Inventor	Anita W-Y. Chan
				Group Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	AM100305

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
	1.	3,914,250		Dong H. Kim	10-21-1975	

OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	2.	Gregory E. MARTIN et al., J. Med. Chem., 1989, 1052-1056, 32	<input type="checkbox"/>
	3.	J.L. BROWNING et al., Society for Neuroscience Abstracts, Oct. 1999, 2075, 25(2), Abstract 830.12	
	4.	Jackson B. HESTER et al., J. Med. Chem., 1970, 827-835, 13	
	5.	Dong H. KIM, J. Heterocycl. Chem., 1976, 1187-92, 13(6)	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.